

Mumford Lisa
Form 4
December 14, 2011

FORM 4 UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

OMB APPROVAL

OMB Number: 3235-0287
Expires: January 31, 2015
Estimated average burden hours per response... 0.5

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person *
Mumford Lisa

2. Issuer Name and Ticker or Trading Symbol
Ellington Financial LLC [EFC]

5. Relationship of Reporting Person(s) to Issuer
(Check all applicable)

(Last) (First) (Middle)
53 FOREST AVE
(Street)

3. Date of Earliest Transaction (Month/Day/Year)
12/12/2011

____ Director _____ 10% Owner
 Officer (give title below) _____ Other (specify below)
Chief Financial Officer

GREENWICH, CT 06870
(City) (State) (Zip)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)
 Form filed by One Reporting Person
 Form filed by More than One Reporting Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Ownership (Instr. 4)		
				(A) or (D)	Code	V	Amount	(D)	Price

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

SEC 1474 (9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security	2. Conversion or Exercise	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any	4. Transaction Code	5. Number of Derivative Securities	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Price
---------------------------------	---------------------------	--------------------------------------	-----------------------------------	---------------------	------------------------------------	--	---	----------

Edgar Filing: Mumford Lisa - Form 4

(Instr. 3)	Price of Derivative Security	(Month/Day/Year)	(Instr. 8)	Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	(Instr. 3, 4, and 5)						
			Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares	
LTIP Units ⁽¹⁾	<u>(1)</u>	12/12/2011	A		2,400		<u>(1)</u>	<u>(1)</u>	Common Shares representing ltd liability company interests	2,400	S

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Mumford Lisa 53 FOREST AVE GREENWICH, CT 06870			Chief Financial Officer	

Signatures

/s/ Sara Walden Brown, as attorney-in-fact for Lisa Mumford
 12/14/2011
 **Signature of Reporting Person Date

Explanation of Responses:

- * If the form is filed by more than one reporting person, see Instruction 4(b)(v).
 - ** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) Represents a separate non-voting class of limited liability company interests ("LTIP Units") of the Issuer, which are structured as profits interests. The LTIP Units will vest one year from the date of grant. The LTIP Units may be converted, at the election of the holder, into common shares representing limited liability company interests of the Issuer on a one-for-one basis. The LTIP Units were issued pursuant to, and are subject to the terms and conditions of, the Issuer's 2007 Incentive Plan for Individuals.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.

Irrevocable undertaking by Ms. Melanie Lee.
99.(d)(6)

Irrevocable undertaking by Dr. Peter Fellner.
99.(d)(7)

Irrevocable undertaking by Mr. Peter Read.
99.(d)(8)

Irrevocable undertaking by Mr. Marvin Jaffe.

Edgar Filing: Mumford Lisa - Form 4

99.(d)(9)

Irrevocable undertaking by Mr. Peter Allen.

99.(d)(10)

Irrevocable undertaking by Dr. Peter Fellner and Mrs. Jennifer Fellner.

99.(d)(11)

Irrevocable undertaking by Mrs. Jennifer Fellner.

99.(d)(12)

Irrevocable undertaking by Ms. Norma Read.

*

Confidential treatment requested. Confidential material has been redacted and separately submitted to the SEC.

Previously filed with the SEC.

o

Filed herewith.

SIGNATURE

After due inquiry and to the best of my knowledge and belief, I certify that the information set forth in this statement is true, complete and correct.

By: /s/ GEORGES JACOBS

Name: Baron Georges Jacobs
Title: Executive Director
Date: July 9, 2004

Edgar Filing: Mumford Lisa - Form 4

EXHIBIT INDEX

- 99.(a)(1) Offer Document dated May 19, 2004.
- 99.(a)(2) Letter of Transmittal.
- 99.(a)(3) Notice of Guaranteed Delivery.
- 99.(a)(4) Letter to Brokers, Dealers, Commercial Banks, Trust Companies and Other Nominees.
- 99.(a)(5) Letter to Clients for use by Brokers, Dealers, Commercial Banks, Trust Companies and Other Nominees.
- 99.(a)(6) Guidelines for Certification of Taxpayer Identification Number on Substitute Form W-9.
- 99.(a)(7) Summary Advertisement in the *Wall Street Journal*.
- 99.(a)(8) Form of Acceptance, Authority and Election.
- 99.(a)(9) Instructions on "How to accept the Offer for your Celltech Shares".
- 99.(a)(10)* Agreement for the Collaboration Between Celltech R & D LTD and UCB Farchim S.A.
- 99.(a)(11) Confidentiality Agreement dated April 19, 2004 between UCB and Celltech.
- 99.(a)(12) Memorandum of Understanding dated May 13, 2004 between UCB and Celltech.
- 99.(a)(13) Side Letter from UCB to Celltech dated May 17, 2004.
- 99.(a)(14) Summary advertisement in the *Financial Times*.
- 99.(a)(15) Announcement pursuant to Rule 8 of the City Code in connection with an acquisition of Celltech Shares by or for the benefit of UCB.
- 99.(a)(16) Announcement pursuant to Rule 8 of the City Code in connection with an acquisition of Celltech Shares by or for the benefit of UCB.
- 99.(a)(17) Announcement pursuant to Rule 8 of the City Code in connection with an acquisition of Celltech Shares by or for the benefit of UCB.
- 99.(a)(18) Announcement pursuant to Rule 8 of the City Code in connection with an acquisition of Celltech Shares by or for the benefit of UCB.
- 99.(a)(19) Announcement pursuant to Rule 8 of the City Code in connection with an acquisition of Celltech Shares by or for the benefit of UCB.
- 99.(a)(20) Announcement pursuant to Rule 8 of the City Code in connection with an acquisition of Celltech Shares by or for the benefit of UCB.
- 99.(a)(21) Announcement pursuant to Rule 8 of the City Code in connection with an acquisition of Celltech Shares by or for the benefit of UCB.
- 99.(a)(22) Press release by UCB announcing the level of acceptances pursuant to the Offer as at June 17, 2004 and an extension of the initial offer period.
- 99.(a)(23) Announcement pursuant to Rule 8 of the City Code in connection with an acquisition of Celltech Shares by or for the benefit of UCB.
- 99.(a)(24) Press release by UCB announcing a decision by the U.K. Office for Fair Trading and that all conditions to the Offer relating to merger clearances have been satisfied.

Edgar Filing: Mumford Lisa - Form 4

- 99.(a)(25) Press release by UCB announcing the level of acceptances pursuant to the Offer as at July 1, 2004 and an extension of the initial offer period.
- 99.(a)(26) Press release by UCB announcing that the Offer has become unconditional in all respects and the level of acceptances as of July 5, 2004.
- 99.(a)(27)^o Press release by UCB announcing the level of acceptances pursuant to the Offer as of July 9, 2004.
-

Edgar Filing: Mumford Lisa - Form 4

- 99.(b)(1) Umbrella Agreement attaching a Credit Facility Letter, Credit Agreement, General Lending Conditions and General Terms and Conditions, dated as of May 17, 2004, between Fortis Bank S.A./N.V. and UCB S.A.
 - 99.(b)(2) Umbrella Agreement attaching a Credit Contract, Credit Conditions and General Conditions, dated as of May 17, 2004, between KBC Bank N.V. and UCB S.A.
 - 99.(d)(1) Inducement Agreement dated May 17, 2004 between UCB and Celltech.
 - 99.(d)(2) Irrevocable undertaking by Mr. Goran Ando.
 - 99.(d)(3) Irrevocable undertaking by Mr. Mick Newmarch.
 - 99.(d)(4) Irrevocable undertaking by Ms. Ingelise Saunders.
 - 99.(d)(5) Irrevocable undertaking by Ms. Melanie Lee.
 - 99.(d)(6) Irrevocable undertaking by Dr. Peter Fellner.
 - 99.(d)(7) Irrevocable undertaking by Mr. Peter Read.
 - 99.(d)(8) Irrevocable undertaking by Mr. Marvin Jaffe.
 - 99.(d)(9) Irrevocable undertaking by Mr. Peter Allen.
 - 99.(d)(10) Irrevocable undertaking by Dr. Peter Fellner and Mrs. Jennifer Fellner.
 - 99.(d)(11) Irrevocable undertaking by Mrs. Jennifer Fellner.
 - 99.(d)(12) Irrevocable undertaking by Ms. Norma Read.
-

* Confidential treatment requested. Confidential material has been redacted and separately submitted to the SEC.

Previously filed with the SEC.

o Filed herewith.

QuickLinks

SIGNATURE

EXHIBIT INDEX